

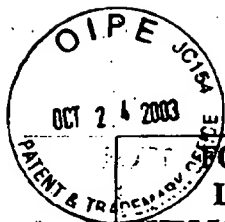
IDS 17
C. Burns

FORM PTO-1440 (modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT				ATTY DOCKET NO. 89-VIB (cont)		SERIAL NO. Serial no.09/ 750, 480	
				APPLICANT: Mitchell R. Swartz			
				FILING DATE: 12/28/00		GROUP: 3641	
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANS LATION
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OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
RP	AE						Arata Y, Zhang Y-C; Fusion Technol. 18 (1990) 95 Achievement of an intense cold fusion reaction.
	AF						Bass "CETI 1.3 kilowatt reactor demonstrated", Cold Fusion Times, 4, 1, 4 (1996)
	AG						Beauette, Paxton Lectureship - CF and the Press, Cold Fusion Times, 1, 4, 5 (1994)
	AF						Beauette, TORCH, 66, 3-7, (1993)
	AG						Biberian, Excess Heat in AlLaO3 Doped with D", ICCF-5 Proceedings, Monaco, 49-56 (1995)
	AH						Bishop "Scientist Press Search for CF" Wall Street Journal, 7/14/94 pge 1
	AI						Bishop, "It aint over till its over .. Cold Fusion", Popular Science, August 1993, 47
	AJ						Bishop, US Research Claims to Replicate Japanese Experiment, Wall Street Journal, 7/27/92
RP	AK						Bittner, et alia, "Evidence for the Production of d-d Fusion Neutrons ...", Fusion Technology, 19, 2119, (91)
EXAMINER Examiner: Palabrica, R.J				DATE CONSIDERED			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP-609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.							

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GROUP 3641



FORM PTO-1440 (modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT				ATTY(DOCKET NO. 89-VIB (cont))		SERIAL NO. 09/750,480	
				APPLICANT: Mitchell R. Swartz			
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OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
R	AE						Bockris JO'M; Fusion Technol. 18 (1990) 523. 'A review of the investigations of the Fleischmann-Pons phenomena'.
	AF						Bush, et al; Nuclear Products Helium Commensurate to Heat Generation, Abstract ICCF-6 P-079 (1996)
	AG						Bush, R. D. Eagleton, "Evidence for Electrolytically Induced Transmutation and Radioactivity Correlated with Excess Heat in Electrolytic Cells with Light Water Rubidium Salt Electrolytes," Transactions of Fusion Technology, 26, 431-441, (Dec. 1994)
	AF						Bush RT; Fusion Technol. 19 (1991) 313. Cold 'fusion'. The transmission resonance model fits data on excess heat; predicts optimal trigger points, and suggests nuclear reaction scenarios.
	AG						Bush BF, Lagowski JJ, Miles MH, Ostrom GS.J. Electroanal. Chem. 304 (1991) 271. Helium production during the electrolysis of D2O in cold fusion experiments.
	AH						Celani F, Spallone A, Tripodi P, Cold Fusion Times 5, 1 (1997) High Power microsecond pulse electrolysis: Anomalous Excess Heat, Cold Fusion Times, 5, 1 (1997)
	AI						Celani F, Spallone A, Tripodi P, Fusion Technol. 29 (1996) 398. Reproducible D/Pd ratio > 1 and excess heat correlation by 1-microsec-pulse, high-current electrolysis.
	AJ						Celani F, Spallone A, Fusion Technol. 17 (1990) 718. Further measurements on electrolytic cold fusion with D2O and palladium at Gran Sasso Laboratory.
- R	AK						G. Cerofolini, et alia, Fusion Technology, 23, 465-469 (1993); Giant Neutron Trapping by a Molecular Species Produces During the Reaction of D+ with H- in a Condensed Phase
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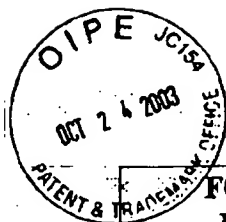


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RP	AE						Chandler, Making the case for CF., Boston Globe, page 7 (4/17/92)
	AF						Chene, Brass J. Electroanal Chem 280, 199-205 (90) "Tritium Production .."
	AG						Chubb, S.R. Chubb, "Role of Hydrogen Ion Band States", Trans Fusion Technology, vol26, 414-426 (1994).
	AF						Chubb, And S.R.Chubb, "Ion Band States: What They Are", Cold Fusion Source Book, ibid., 75, (1994)
	AG						Chubb, S.R. Chubb, "Bloch-Symmetric Fusion in PdDx", Fusion Technology, 17, 710 (1990).
	AH						Cignini, et alia, "Xray, Heat Excess and 4He in Electrochemical Confinement of D in Pd, ICCF-6
	AI						Clarke, "2001: The coming Age of Hydrogen Power", COLD FUSION, 1, 1, 10-13 (1994)
	AJ						Clarke, "2001: The coming Age of Hydrogen Power", Cold Fusion Times, 1, 2, pp1,3, 8 (1993)
RP	AK						Claytor et alia, Tritium Production from Pd and Pd alloys", Abstract ICCF-6 O-031 (1996)
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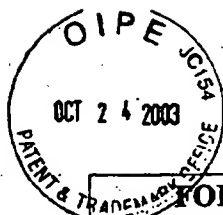
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OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
RP	AE						Claytor et alia, Tritium Production from a Low Voltage Deuterium Discharge", Cold Fusion Times, 4, 3, pp 7-9 (1996)
	AF						Cravens, "Comments on Steve Jones' Theory on Recombination", Cold Fusion Times, 4, 2, 9 (1996)
	AG						Deninio, et alia, Europhysics Letters, 9 (3), 221-224 (1989)
	AF						EPRI Report Summary, "Development of Advanced Concepts for Nuclear Process in Deuterated Metals", Cold Fusion Times, 4, 3, pp1,7 (1996)
	AG						Fleischmann M, Pons S; Cold Fusion Times, 1, 3, pp1,2,6,8,10 (1993), "Response to Critique of Physics Letter A Paper"
	AH						Fleischmann M, Pons S; Some comments on the paper Analysis of experiments on the calorimetry of LiOD-D2O electrochemical cells, R.H. Wilson et al., J. Electroanal. Chem. 332 (1992) 1.
	AI						Fox, Summary of 2nd LENR Conf, Fusion Facts, (1996)
	AJ						Fox, Cold Fusion Impact, ISBN 096349780-7, (1992)
RP	AK						Gozzi D, Cignini PL, Petrucci L, Tomellini M, De Maria G, Frullani S, Garibaldi F, Ghio F, Jodice M, Tabet E; J. Fusion Energy 9 (1990) 241. Nuclear and thermal effects during electrolytic reduction of deuterium at palladium cathode.
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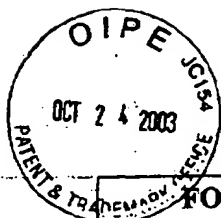
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RP	AE						Gozzi D, et al, IL Nuovo Cimento, 103A, 143-154 (1990) Evidences for Heat Generation ...". Fusion Energy 9 (1990) 241.Nuclear and thermal effects during electrolytic reduction of deuterium at palladium cathode.
	AF						Hagelstein, "Lattice-Induced Atomic and Nuclear Reactions", Vol. 1, Proceedings: "Fourth International Conference on Cold Fusion", December (1994).
	AG						Hagelstein PL; Cold Fusion Times, 1, 1, 1-8 (1993) Summary of the Third Int Conf on CF (ICCF3)
	AF						Hagelstein PL; J. Fusion Energy 9 (1991) 451.
	AG						Hagelstein, "Coherent Fusion Theory", J. of Fusion Energy, 9, 451, (1990); P. Hagelstein, S. Kaushik, "Neutron Transfer Reactions"
	AH						Hoffman, Review of Taubes, Fusion Technology, 25, 224-227 (1994)
	AI						Hora et alia, "Screening in cold fusion derived from D-D reactions", Physics Letters A, 175, 138-143 (1993).
	AJ						Huggins, "CF Conference gathers fuel for thought", COLD FUSION, 1, 1, 36-42 (1994)
RP	AK						Itoh et alia, "Observation of Nuclear Products un Vacuum Condition.", ICCF-5 Proceedings, Monaco, 189-196 (1995)
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RP	AE						Gozzi D, et al, IL Nuovo Cimento, 103A, 143-154 (1990) Evidences for Heat Generation ...". Fusion Energy 9 (1990) 241. Nuclear and thermal effects during electrolytic reduction of deuterium at palladium cathode.
	AF						Hagelstein, "Lattice-Induced Atomic and Nuclear Reactions", Vol. 1, Proceedings: "Fourth International Conference on Cold Fusion", December (1994).
	AG						Hagelstein PL; Cold Fusion Times, 1, 1, 1-8 (1993) Summary of the Third Int Conf on CF (ICCF3)
	AF						Hagelstein PL; J. Fusion Energy 9 (1991) 451.
	AG.						Hagelstein, "Coherent Fusion Theory", J. of Fusion Energy, 9, 451, (1990); P. Hagelstein, S. Kaushik, "Neutron Transfer Reactions"
	AH						Hoffman, Review of Taubes, Fusion Technology, 25, 224-227 (1994)
	AI						Hora et alia, "Screening in cold fusion derived from D-D reactions", Physics Letters A, 175, 138-143 (1993).
	AJ						Huggins, "CF: Conference gathers fuel for thought", COLD FUSION, 1, 1, 36-42 (1994)
RP	AK						Itoh et alia, "Observation of Nuclear Products un Vacuum Condition..", ICCF-5 Proceedings, Monaco, 189-196 (1995)
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RP	AE						Iwamura et al, "Observations of Anomalous Nuclear Effects in D2-Pd System", Trans Fusion Technology, vol26, 160-164 (1994)
	AF						Jin, "Deuterium Absorbability and Anomalous Nuclear Effect of YBCO HTSC", Fusion Technology, 26, 4T, 427-430 (December 1994)
	AG						Jin, "Deuterium Absorbability and Anomalous Nuclear Effect of YBCO HTSC", abstract in Cold Fusion Times, 2, 1, p7 (1994)
	AF						Johnson, Keith, "Jahn Teller Symmetry in CF as storage of the Latent Heat of Water", Fusion Technology, 26, 4T, 527-529 (December 1994)
	AG						Karabut "Nuclear Product Ratio", Phys Letters A 170, 265-272 (1992)
	AH						Kim, Zubarev "Gamow factor cancellation and Mechanisms", JNE1,3, 145-154 (96)
	AI						Kim, Zubarev "Uncertainties of Conventional Theories and New Improved Formulations", ICCF-5 Proceedings, Monaco, 293-314 (1995)
	AJ						Kim, Zubarev, Improved Coulomb Barrier Transmission", Fusion Technology, July 1994, 25, 475
RP	AK						Kim, Zubarev "Reaction Barrier Transparency" Trans Fusion Technology, vol26, 408-413 (1994)
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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT				APPLICANT: Mitchell R. Swartz			
				FILING DATE: 12/28/00		GROUP: 3641	
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OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
RP	AE						Li, Excess Heat in D/Pd Gas-Loading, Cold Fusion Times, 5, 1, p3 (1997)
	AF						Li "Normal Temperature Fusion in China", Cold Fusion Times, 4, 3, pp10,5 (1996)
	AG						Li et al, "solving the Puzzle of Excess Heat", ICCF-5 Proceedings, Monaco, 285-292 (1995)
	AF						Lonchampt, et alia, "Reproduction of FP Experiments", Cold Fusion Times, 5, 1, page 10 (1997).
	AG						Lonchampt, et alia, "Reproduction of FP Experiments", Abstract ICCF-6 0-044(1996)
	AH						Mallove, "Fire from Ice", chapter 15 (1992)
	AI						Mallove, "Helium-4 Generation from Ultrasound", Cold Fusion Times, 3, 1, p7 (1995)
	AJ						Mallove, "Cold Fusion", Cold Fusion, 1, 1, pages 4-6 (1994)
RP	AK						Mallove, "Publishing Fiasco of the Century", COLD FUSION, 1, 1, 90-93 (1994)
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PATENT & TRANSLATION

FORM PTO-1440 (modified)
LIST OF PATENTS AND
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INFORMATION DISCLOSURE
STATEMENT

ATTY DOCKET NO.
 89-VIB (cont)

SERIAL NO.
 Serial no.09/ 750, 480

APPLICANT: Mitchell R. Spatz

FILING DATE:
 12/28/00

GROUP:
 3641

REFERENCE DESIGNATION

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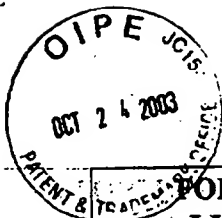
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)

RP	AE								Mallove, "Brief Review of the History of CF", Cold Fusion Times, 1, 1, (1993)
	AF								Mallove, Rothwell, "Overview of the Subject of Cold Fusion", Cold Fusion Times, 1, 3, pp 4,5 (1993)
	AG								Mallove, "Report of Important Meeting with US Congress", Cold Fusion Times, 1, 3, pp 1,4,8 (1993)
	AF								Mallove, "CF and Alternative Energy at US Congressional Hearing", Cold Fusion Times, 1, 2, pp 1,2,4,8 (1993)
	AG								Matsumoto T, Fusion Technol. 22, 164 (1992); Observation of heavy elements produced during explosive cold fusion.
	AH								Matsumoto, "Nattoh Model for Cold Fusion", Fusion Technology 16, 532 (1989).
	AI								McKubre MCH, Crouch-Baker S, et alia, Concerning Reproducibility of Excess Power Production", ICCF-5 Proceedings, Monaco, 17-33 (1995)
	AJ								McKubre MCH, Crouch-Baker S, Rocha-Filho RC, Smedley SI, Tanzella FL, Passell TO, Santucci J, J. Electroanal. Chem. 368 (1994) 55. Isothermal flow calorimetric investigations of the D/Pd and H/Pd systems.
RP	AK								McKubre MCH, Crouch-Baker S, Rocha-Filho RC, Smedley SI, Tanzella FL, Isothermal flow calorimetric investigations of the D/Pd, 2nd Int Conference COMO (1991)

EXAMINER Examiner: Palabrica, R.J

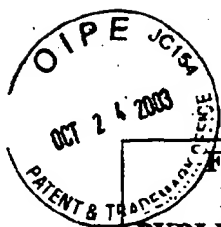
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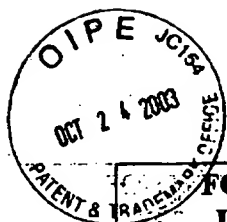


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RF	AE						McNally, Possibl of Nuclear Mass Energy Resonance", Fusion Technology, 16, 237-239 (89)
	AF						Melich, M., W.N. Hansen, "Some Lessons from 3 Years of Electrochemical Calorimetry", Proceedings of the "Fourth International Conference on Cold Fusion" Maui, sponsored by EPRI and the Office of Naval Research, December (1993).
	AG						Menlove HO, Miller MC; Nucl. Instr. Methods Phys. Res. A299 (1990) 10.
	AF						Menlove HO, Fowler MM, Garcia E, Mayer A, Miller MC, Ryan RR, Jones SE; The measurement of neutron emission from Ti plus D2 gas, J. Fusion Energy 9 (1990) 215.
	AG						Miles, et al. Heat and Helium Measurement Using Pd and Pd Alloys, Cold Fusion Times, 5, 1 (1997)
	AH						Miles, et al. Anomalous Effect in Deuterated Systems, Cold Fusion Times, 5, 1, p5 (1997)
	AI						letter from Miles/Jones
	AJ						Miles, et al. Heat and Helium Measurement Using Pd and Pd Alloys in Heavy Water (1996) ICCF6 abstract O-004
RF	AK						Miles MH, Bush BF, Stilwell DE, J. Phys. Chem. 98 (1994) 1948. Calorimetric principles and problems in measurements of excess power during
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Rp	AE						Miles MH, Bush BF, Lagowski JJ; Fusion Technol. 25 (1994) 478. Anomalous effects involving excess power, radiation, and helium production during D2O electrolysis using palladium cathodes.
	AF						letter from Dr. Miles regarding Jones
	AG						Miles MH, Hollins RA, Bush BF, Lagowski JJ, Miles RE; J. Electroanal. Chem. 346 (1993) 99. Correlation of excess power and helium production during D2O and H2O electrolysis using palladium cathodes.
	AF						Dr. Miles letter to Nozik
	AG						letter from Dr. Miles/Taubes
	AH						Miley, Patterson, "Nuclear Transmutations in Thin film Nickel Coatings", JNE1,3, 5-30 (96)
	AI						Mills RL, Good WR, Fusion Technol. 28 (1995) 1697 Fractional Quantum Energy Levels of Hydrogen
	AJ						Milton, Forbidd Science, 24-36 (1996)
AP	AK						Mizuno, et al, Anomalous Isotopic Distributionn in Pd Cathode, Cold Fusion Times, 4, 4, 1-5 (1996)
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RP	AE						Mizuno, et al, Isotopic Distribution of Elements Evolved in Pd Cathode, Abstract ICCF-6 TS-003 (1996)
	AF						Mizuno et alia, "Isotopic Changes of the Reaction Products Induced ... in Pd", JNE1,3, 31-45 (96)
	AG						Mizuno T, Akimoto T, Azumi K, Kitaichi M, Kurokawa K, Fusion Technol. 29 (1996) 385. Anomalous heat evolution from a solid-state electrolyte under alternating current in high-temperature D2 gas.
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RP	AJ						Noninski VC, Noninski CI; Fusion Technol. 23 (1993) 474. Notes on two papers claiming no evidence for the existence of excess energy
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EXAMINER: Palabrica, R.J				DATE CONSIDERED			
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FORM PTO-1440 (modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT				ATTY DOCKET NO. 89-VIB (cont)		SERIAL NO. 09/ 750, 480	
				APPLICANT: Mitchell R. Swartz			
				FILING DATE: 12/28/00		GROUP:	
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OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
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				APPLICANT: Mitchell R. Swartz			
				FILING DATE: 12/28/00		GROUP: 3641	
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	AH						Rothwell, Mallove, "Report on Important Meeting with US Congress", Cold Fusion Times, 1, 3, pp1,4,8 (1993)
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✓	AJ						Rout, et al, "Detection of High Tritium Activity", Fusion Technology, 19, 391 (91)
RP	AK						Samgin et alia, "Cold Fusion and anomalous effects in deutron conductors", ICCF-5 Proceedings, Monaco, 201-208 (1995)
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	AE						Samgin et alia, "Influence of Conductivity" (1994)
RP	AF						Sapogin, "Energy Generation Mechanism", Cold Fusion Times, 3, 2, p5 (1995)
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LIST OF PATENTS AND
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ATTY DOCKET NO.

480-Series I

SERIAL NO.

Serial no. 09/ 750, 480

APPLICANT: Dr. Mitchell Swartz

FILING DATE:

Filed: 12/28/2000

GROUP:

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REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

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	AS									Arata, Achievement of Solid-State Plasma Fusion, Cold Fusion Times Fall 1997
	AT									Asami, MATERIAL BEHAVIOR OF HIGHLY DEUTERATED PALLADIUM, The Seventh International Conference on Cold Fusion. 1998
	AU									Bass, Theoretical and Experimental Results, TRANS. AMERICAN NUCLEAR SOCIETY, LOW-ENERGY NUCLEAR REACTIONS (2000)
	AV									Beaudette, Charles G. EXCESS HEAT & Why Cold Fusion Research Prevailed, Second Edition, 2002, Oak Grove Press, LLC, ISBN 9-9678548-2-2
	AX									Biberian, ELECTROLYSIS OF LaAlO3 SINGLE CRYSTALS AND CERAMICS IN A DEUTERIATED ATMOSPHERE, ICCF7
	AY									Biberian, DEUTERIUM GAS LOADING OF PALLADIUM USING A SOLID STATE ELECTROLYTE, ICCF9. 2002
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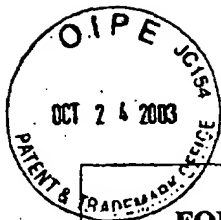


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	AV						Celani et al, HIGH HYDROGEN LOADING INTO THIN PALLADIUM WIRES ... IN THE HEAVY WATER, (ICCF-8) May 21-26, 2000
	AX						Celani, Deuterium Overloading of Palladium Wires by Pulsed Electrolysis and Electromigration, Physics Letters A 214, 1-13, (1996)
	AY						Celani, F., Reproducible D/Pd Ratio >1 and Excess Heat Correlation by 1-μS Pulse, High-Current Electrolysis, Fusion Technology 29, 398-404, (1996)
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RP	AR						Chien, Bockris, J. Electroanal. Chem. 338 (1992) 189-212, On an electrode producing massive quantities of tritium and helium
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	AU						Claytor, TRITIUM PRODUCTION FROM PALLADIUM ALLOYS, Proc. ICCF-7: p. 88.
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RP	AZ						Dufour, Experimental Observation of Nuclear Reactions in Palladium and Uranium, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)
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RP	AR						Celani et alia, The Effect of g-b Phase on H(D)/Pd Overloading, ICCF7, Vancouver, Canada, 1998
	AS						Fisher, Polyneutron Chain Reactions, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)
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RP	AZ						IWAMURA, Mitsubishi, Elemental Analysis of Pd Complexes: Effects of D2 Gas, Jpn. J. Appl. Phys. Vol. 41 (2002) pp. 4642-4650, Part 1, No. 7A, July 2002
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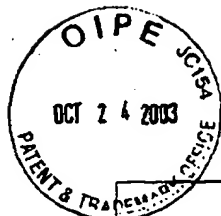
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RP	AR						IWAMURA, DETECTION OF ANOMALOUS ELEMENTS, X-RAY AND EXCESS HEAT INDUCED BY CONTINUOUS DIFFUSION OF DEUTERIUM THROUGH MULTI-LAYER CATHODE (Pd/CaO/Pd), Proc-ICCF-7 p. 167.
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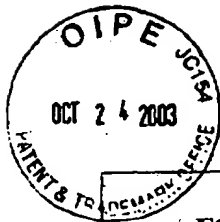
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	AV						Miles, Reply to Jones, Physical Chemistry B, 102, 3642
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	AY						Miles, M. B.F. Bush, Radiation Measurements at China Lake: Real or Artifacts?, Proc-ICCF-7 1998
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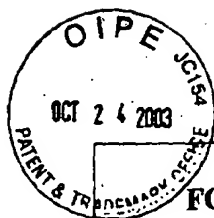
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	AS						Miles, THE ELEVATION OF BOILING POINTS IN H2O AND D2O ELECTROLYTES, The Ninth International Conference on Cold Fusion. 2002. Beijing, China: Tsinghua University.
	AT						Miley, Some Personal Reflections on Scientific Ethics and the Cold Fusion "Episode", Accountability in Research, 2000. 8: p. 121
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	AX						Miley, Progress in thin film LENR Research. in The Ninth International Conference on Cold Fusion. 2002. Beijing, China
	AY						MIZUNO, Confirmation of heat generation and anomalous element caused
RP	AZ						Mizuno, Neutronics, Heat and Products Induced by Plasma Electrolysis, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)
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RP	AR						Mizuno, Experimental Confirmation of the Nuclear Reaction at Low Energy Caused by Electrolysis in the Electrolyte, Proceedings ymposium on Advanced Research in Energy Technology 2000, pp. 95-106.
	AS						Mizuno, Anomalous Isotopic Distribution after electrolysis, Cold Fusion Times Fall 1996
	AT						Mizuno, Tadahiko, Nuclear Transmutation: The Reality of Cold Fusion, Department of Nuclear Engineering Hokkaido National University, Japan
	AU						Mizuno, Tadahiko, Tadayoshi Ohmori, Tadashi Akimoto and Akito Takahashi, Production of Heat during Plasma Electrolysis in Liquid, Jpn. J. Appl. Phys. Vol.39 (2000)
	AV						Mizuno, Relation Between Neutron Evolution And Deuterium Permeation With A Palladium Electrode, Proc-ICCF-9 2002.
	AX						Oriani, R. A., J. C. Fisher, Generation of Nuclear Tracks during Electrolysis, Jpn. J. Appl. Phys. Vol. 41 (2002) pp. 6180-6183, Part1, No. 10, October 2002
	AY						Oriani, R.A. Anomalous Heavy Atomic Masses Produced by Electrolysis. Proc-ICCF-7
RP	AZ						Oriani, Richard A. Univ of Minnesota, John C. Fisher, Fisher, Anomalous Power Generation Produced by Stirring Water Solutions, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)
EXAMINER: Examiner: Palabrica, R.J.				DATE CONSIDERED			

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FORM PTO-1440 (modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		ATTY DOCKET NO. 480-Series I		SERIAL NO. Serial no. 09/ 750, 480	
		APPLICANT: Dr. Mitchell Swartz			
		FILING DATE: Filed: 12/28/2000		GROUP: 641	
REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS		
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[Handwritten: 2]	AR				Passell, T.O., Radiation data reported by Wolf at Texas A&M as transmitted by T. Passell. 1995, EPRI
	AS				Pons, S., HEAT AFTER DEATH, Transactions of Fusion Technology, Vol. 26, Number 4T, Part 2, December 1994: p. 87.
	AT				Rothwell, ILENR2 Summary, Cold Fusion Times Fall 1996
	AU				Savvatimova, Reproducibility of Experiments in Glow Discharge and Processes Accompanying Deuterium ions Bombardment.Proc-ICCF-8 (2000)
	AV				Schwinger, Julian, Transactions of Fusion Technology, Vol. 26, Number 4T, Part 2, December 1994
	AX				Sinha, K. P. P. L. Hagelstein, MIT, Electron Screening in Metal Deuterides, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)
[Handwritten: 2]	AY				Storms, Edmund, COLD FUSION: An Objective Assessment
[Handwritten: 2]	AZ				Storms, Edmund, Ways to Initiate a Nuclear Reaction in Solid Environments, American Physical Society Meeting, March 15, 2001
EXAMINER: Examiner: Palabrica, R.J.				DATE CONSIDERED	
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FORM PTO-1440 (modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT				ATTY DOCKET NO. 480-Series I		SERIAL NO. Serial no. 09/ 750, 480	
				APPLICANT: Dr. Mitchell Swartz			
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RP	AR						Storms, RELATIONSHIP BETWEEN OPEN-CIRCUIT-VOLTAGE AND HEAT PRODUCTION IN A PONS-FLEISCHMANN CELL, (ICCF-7). p.356.
↓	AS						Storms, A Critical Evaluation of the Pons-Fleischmann Effect (Part 1), Infinite Energy 6, #31 (2000) 10
↓	AT						Storms, The Nature of the Nuclear-Active-Environment Required for Low Energy Nuclear Reactions, Preprint to Infinite Energy, July 2002
↓	AU						Storms, EXCESS POWER PRODUCTION FROM PLATINUM CATHODES USING THE PONS-FLEISCHMANN EFFECT
↓	AV						Swartz, Engineering to Control Noise, Loading, and Optimal Operating Points, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)
↓	AX						Swartz, Mitchell Patterns of Success
↓	AY						Szpak, S., P.A. Mosier-Boss, ON THE BEHAVIOR OF THE CATHODICALLY POLARIZED PD/D SYSTEM: SEARCH FOR EMANATING RADIATION
↓	AZ						Szpak, S., P.A. Mosier-Boss, I and R.D. Boss, ON THE BEHAVIOR OF THE PD/D SYSTEM: EVIDENCE FOR TRITIUM PRODUCTION
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OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
RF	AR						Szpak, S. P. A. Mosier-Boss, TECHNICAL REPORT 1862, February 2002, Thermal and Nuclear Aspects of the Pd/D20 System; Volume 1
	AS						Takahashi, Radiation-Less Fission Products by Selective Channel Low-Energy Photofission, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)
	AT						UCHIKAWA, New Technique of Activating Palladium Surface for Absorption of Hydrogen or Deuterium, Jpn. J. Appl. Phys. Vol. 32 (1993) pp. 5095-5096 Part 1, No. 11 A, November 1993.
	AU						US Navy, Final Report Abstract Anomalous Effects in Deuterated Systems 9/1995
	AV						Violante, Recent Results from Collaborative Research at ENEA-Frascati on Reaction Phenomena in Solids, TRANS. AMERICAN NUCLEAR SOCIETY, (2000)
	AX						Will, TRITIUM GENERATION IN PALLADIUM CATHODES WITH HIGH DEUTERIUM LOADING, Transactions of Fusion Technology, Vol. 26, Number 4T, Part 2, December 1994: p. 209.
	AY						WWII Japanese CF Rocket Plane, Cold Fusion Time Fall 1997
	AZ						
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				APPLICANT: Dr. Mitchell Swartz			
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RP	AR						Petition for Writ of Certiorari Applicant vs. Q. Todd Dickinson 2/2003
I	AS						Letter to Dagani from Dr. Miles, 5/20/98 regarding issues cited by Office
I	AT						Letter to the Dr. Morrison, 7/23/96 regarding issues cited by Office
V	AU						Letter to Dr. Miller, 9/24/97 regarding issues cited by Office
RP	AV						Letter to Mr. Murray, 3/7/98 regarding issues cited by Office
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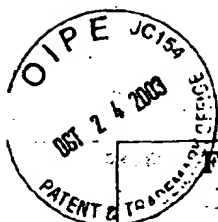
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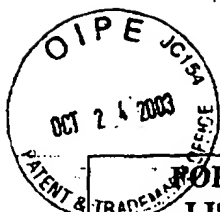
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RF	AR						"Advanced Calculus for Applications, Second Edition" Francis Hildebrand (1976). pages 72 through 76, and also page 88
	AS						"Theoretical Mechanics: An Introduction To Mathematical Physics" (1929) Joseph Ames and Francis Murnaghan. pages 124 to 139
	AT						"Analytical Mechanics" (1962) Grant Fowles. pages 80 through 84 pages 43 through 45 pages 51 through 55.
RF	AU						"Calculus and Analytical Geometry" (1951, and 1960) George Thomas Jr. pages 895 through 900
	AV						
	AX						
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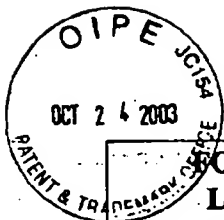


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OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
RP	AE						Storms E; "A very unscientific ... take on other CF effects", COLD FUSION, 1, 1, 43 (1994)
	AF						Storms E; "Some characteristics of Heat Production", Trans Fusion Technology, vol26, 96-100 (1994)
	AG						Storms, Measurements of Excess Heat of a PF Cell, Fusion Tech, 23, 230 (1993)
	AF						Storms E, Talcott C; Fusion Technol. 17 (1990) 680 Electrolytic tritium production.
	AG						Swartz, M., 1996, "Possible Deuterium Production From Light water excess enthalpy experiments using Nickel Cathodes", Journal of New Energy, 3, 68-80 (1996)
	AH						Swartz, M., 1997, "Hydrogen Redistribution By Catastrophic Desorption In Select Transition Metals", Journal of New Energy, 1, 4, 26-33
	AI						Swartz, M., 1992, "Quasi-One-Dimensional Model of Electrochemical Loading of Isotopic Fuel into a Metal", Fusion Technology, 22, 2, 296-300
✓	AJ						Swartz, M., 1994, "Isotopic Fuel Loading Coupled To Reactions At An Electrode". Fusion Technology, 96, 4T, 74-77
RP	AK						Swartz, M., 1997, "Codeposition Of Palladium And Deuterium", Fusion Technology, 32, 126-130 (1997)
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				APPLICANT: Mitchell R. Swartz			
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OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
AP	AE						Swartz. M., 1997, "Consistency of the Biphasic Nature of Excess Enthalpy in Solid State Anomalous Phenomena with the Quasi-1-Dimensional Model of Isotope Loading into a Material" Fusion Technology. 31, 63-74
	AF						Swartz. M., 1997, "Phusons in Nuclear Reactions in Solids", Fusion Technology, 31, 228-236 (March 1997)
	AG						Swartz, M, 1998, Improved Electrolytic Reactor Performance Using p-Notch System Operation and Gold Anodes, Transactions of the American Nuclear Association, Nashville, Tenn 1998 Meeting, (ISSN:0003-018X publisher LaGrange, Ill) 78, 84-85
	AF						Swartz. M., 1997, "Biphasic Behavior in Thermal Electrolytic Generators Using Nickel Cathodes". IECEC 1997 Proceedings, paper #97009
	AG						P. Hagelstein, M. Swartz, Optics and Quantum Electronics, MIT RLE Progress Report, 139: 1, 1-13 (1997).
	AH						Swartz, M, 1994, "A Method To Improve Algorithms Used To Detect Steady State Excess Enthalpy", Transactions of Fusion Technology, 26, 156-159
	AI						Swartz. M., 1998, Patterns of Failure in Cold Fusion Experiments, Proceedings of the 33RD Intersociety Engineering Conference on Energy Conversion, IECEC-98-1229, Colorado Springs, CO, August 2-6, 1998
	AJ						Swartz. M., 1994, "Generalized Isotopic Fuel Loading Equations" "Cold Fusion Source Book", International Symposium On Cold Fusion And Advanced Energy Systems". Ed. Hal Fox. Minsk Belarus
	AK						Swartz, M, 1998, "Optimal Operating Point Characteristics of Nickel Light Water Experiments", Proceedings of ICCF-7
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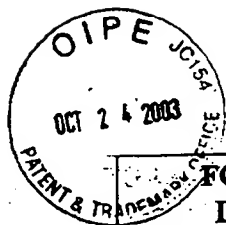
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				APPLICANT: Mitchell R. Swartz			
				FILING DATE: 12/28/00		GROUP: 3641	
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OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
	AE						Swartz, M, 1997, "Noise Measurement in cold fusion systems, Journal of New Energy, 2, 2, 56-61; Swartz, M, 1996, "Definitions Of Power Amplification Factor", J New Energy, 2, 54-59
	AF						Swartz, M, 1996, "Definitions Of Power Amplification Factor", J New Energy, 2, 54-59.
	AG						Swartz, M, 1997, "Explanations for Some Differences Between Reports of Excess Heat in Solid State Fusion Experiments", J New Energy, 2, 1, 60-65.
	AF						Swartz, M, G. Verner, 1999, "Bremsstrahlung in Hot and Cold Fusion", J New Energy, (preprint confidentially shared)
	AG						Swartz, M, 1993, "Some Lessons from Optical Examination of the PFC Phase-II Calorimetric Curves", Vol. 2, Proceedings: "Fourth International Conference on Cold Fusion", 19-1, op. cit.
	AH						Swartz, M., 1996, "Relative Impact of Thermal Stratification of the Air Surrounding a Calorimeter", Journal of New Energy, 2, 219-221 (1996)
	AI						Swartz, M, 1996, "Improved Calculations Involving Energy Release Using a Buoyancy Transport Correction", Journal of New Energy, 1, 3, 219-221.
	AJ						Swartz, M, 1996, "Potential for Positional Variation in Flow Calorimetric Systems", Journal of New Energy, 1, 126-130
	AK						Swartz, M., 1994, "Catastrophic Active Medium Hypothesis of Cold Fusion" Vol. 4. "Proceedings: "Fourth International Conference on Cold Fusion" sponsored by EPRI and the Office of Naval Research
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OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
PP	AE						Science and Engineering of Hydrided Metals Series, Volume 2 - "Calorimetric Complications The Examination of the Phase-II Experiment and Other Select Calorimetric Issues, Ed. M. Swartz, JET Technology Press, Wellesley Hills, MA, ISBN 1-890550-02-7 (1999)
	AF						Swartz, M., 1997B, "Hydrogen Redistribution By Catastrophic Desorption In Select Transition Metals", <i>Journal of New Energy</i> , 1, 4, 26-33
	AG						Swartz, M., 2002, G. Verner, A. Frank, "The Impact of Heavy Water (D ₂ O) on Nickel-Light Water Cold Fusion Systems", <i>Proceedings of ICCF-9, China</i>
	AF						Szpak S, Mosier-Boss PA, JNE1,3, 54-67 (96) Nuclear and Thermal Events assoc with Codeposition.
	AG						Szpak S, et al; J. Electroanal. Chem. 309 (1991) 273. Electrochemical Charging of Pd rods
	AH						Szpak S, Mosier-Boss PA, Smith JJ; J. Electroanal. Chem. 302 (1991) 255. On the behavior of Pd deposited in the presence of evolving deuterium.
	AI						Tajima, H. Iyetomi, S. Ichimaru, "Influence of Attractive Interaction Between Deuterons in Pd on Nuclear Fusion", <i>J. of Fusion Energy</i> , 9, 437, (1990).
	AJ						Takahashi et al, "Windows of CNF and Pulsed Expts", <i>Fusion Tech</i> , 19, 380-390 (1991)
AK						Tinsley, Solid State alters nuclear Behavior", <i>Cold Fusion</i> , 1, 1, 18 (1994)	
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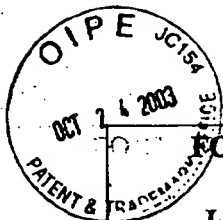
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OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
	AE						Verner "ABC Reports on CF Device", Cold Fusion Times, 4, 2, pp1-3, also 4,6,8 (1996)
	AF						Wada, Nishizawa, "Nuclear Fusion in Solid", 28, 11, 2017-2020 (90)
	AG						Will, K. Cedzynska, D.C. Linton, "Tritium Generation in Palladium Cathodes with High Deuterium Loading", Transactions of Fusion Technology, vol 26, Dec. 1994, pp 209-213
	AF						Will FG, Cedzynska K, Linton DC; J. Electroanal. Chem. 360 (1993) 161, Reproducible tritium generation in electrochemical cells employing palladium cathodes with high deuterium loading
	AG						Will, Final Report, NCFI
	AH						Wolf et al, Neutron Emission and Tritium Content .", J. Fusion Energy, 9, 2, 105-113 (1990)
	AI						Yamaguchi, CF Induced by Out Diffusion, Jap Jour App Physics, 29, 666 (1990)
	AJ						Zakowicz, Possible Resonant Mechanism of CF", Fusion Technology, 19, 170-173 (91)
	AK						Zhu, Lee, Robinson, "Non Maxwell velocity Distributions in Inhomogeneous Materials, J Fusion Energy, 9, 4, 465 (90)
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RP	AE				Swartz, M., 1996, "Possible Deuterium Production From Light water excess enthalpy experiments using Nickel Cathodes", Journal of New Energy, 3, 68-80 (1996)		
	AF				Swartz, M., 1997, "Hydrogen Redistribution By Catastrophic Desorption In Select Transition Metals", Journal of New Energy, 1, 4, 26-33		
	AG				Swartz, M., 1992, "Quasi-One-Dimensional Model of Electrochemical Loading of Isotopic Fuel into a Metal", Fusion Technology, 22, 2, 296-300		
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	AG				Swartz, M., 1997, "Codeposition Of Palladium And Deuterium", Fusion Technology, 32, 126-130 (1997)		
	AH				Swartz, M., 1997, "Consistency of the Biphasic Nature of Excess Enthalpy in Solid State Anomalous Phenomena with the Quasi-1-Dimensional Model of Isotope Loading into a Material" Fusion Technology, 31, 63-74		
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	AK				Swartz, M., 1997, "Biphasic Behavior in Thermal Electrolytic Generators Using Nickel Cathodes". IECEC 1997 Proceedings, paper #97009		
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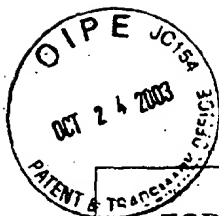


FORM PTO-1440 (modified)				ATTY DOCKET NO: 89-VIB (cont)		SERIAL NO. Serial no. 09/ 750, 480	
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT				APPLICANT: Mitchell R. Swartz			
				FILING DATE: 12/28/00		GROUP:	
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
EXAMINER INITIAL		DOCUMENT NUMBER	DAT	NAME		CLASS	FILING DATE
	AA						
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANS LATION
	AD						
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
	AE			P. Hagelstein, M. Swartz, Optics and Quantum Electronics, <i>MIT RLE Progress Report</i> , 139: 1, 1-13 (1997).			
	AF			Swartz, M, 1994, "A Method To Improve Algorithms Used To Detect Steady State Excess Enthalpy", <i>Transactions of Fusion Technology</i> , 26, 156-159			
	AG			Swartz, M., 1998, Patterns of Failure in Cold Fusion Experiments, Proceedings of the 33RD Intersociety Engineering Conference on Energy Conversion, IECEC-98-1229, Colorado Springs, CO, August 2-6, 1998			
	AF			Swartz, M., 1994, "Generalized Isotopic Fuel Loading Equations" "Cold Fusion Source Book", International Symposium On Cold Fusion And Advanced Energy Systems". Ed. Hal Fox. Minsk Belarus			
	AG			Swartz, M, 1998, "Optimal Operating Point Characteristics of Nickel Light Water Experiments", <i>Proceedings of ICCF-7</i> .			
	AH			Swartz, M, 1997, "Noise Measurement in cold fusion systems, <i>Journal of New Energy</i> , 2, 2, 56-61; Swartz, M, 1996, "Definitions Of Power Amplification Factor", <i>J New Energy</i> , 2, 54-59			
	AI			Swartz, M, 1996, "Definitions Of Power Amplification Factor", <i>J New Energy</i> , 2, 54-59.			
	AJ			Swartz, M, 1997, "Explanations for Some Differences Between Reports of Excess Heat in Solid State Fusion Experiments", <i>J New Energy</i> , 2, 1, 60-65.			
	AK			Swartz, M, G. Verner, 1999, "Bremsstrahlung in Hot and Cold Fusion", <i>J New Energy</i> , (preprint confidentially shared)			
EXAMINER				DATE CONSIDERED			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.							

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LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT				APPLICANT: Mitchell R. Swartz			
				FILING DATE: 12/28/00		RECEIVED OCT 28 2003 GROUP 3600	
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANS LATION
	AD						
OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
R	AE						Swartz, M, 1993, "Some Lessons from Optical Examination of the FC Phase-II Calorimetric Curves", Vol. 2, Proceedings: "Fourth International Conference on Cold Fusion", 19-1, op. cit.
	AF						Swartz, M., 1996, "Relative Impact of Thermal Stratification of the Air Surrounding a Calorimeter", Journal of New Energy, 2, 219-221 (1996)
	AG						Swartz, M, 1996, "Improved Calculations Involving Energy Release Using a Buoyancy Transport Correction", Journal of New Energy, 1, 3, 219-221
	AF						Swartz, M, 1996, "Potential for Positional Variation in Flow Calorimetric Systems", Journal of New Energy, 1, 126-130
	AG						Swartz, M., 1994, "Catastrophic Active Medium Hypothesis of Cold Fusion" Vol. 4. "Proceedings: "Fourth International Conference on Cold Fusion" sponsored by EPRI and the Office of Naval Research
	AH						Dr. Michael McKubre, SRI, at his closing "Summary During ICCF-7", <i>Infinite Energy</i> , 4, 20, 34-35, (1998)
	AI						Science and Engineering of Hydrided Metals Series, Volume 2 - "Calorimetric Complications The Examination of the Phase-II Experiment and Other Select Calorimetric Issues, Ed. M: Swartz, JET Technology Press, Wellesley Hills, MA, ISBN 1-890550-02-7 (1999)
	AJ						
	AK						
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FORM PTO-1440 (modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT				ATTY DOCKET NO. 480-Series I		SERIAL NO. Serial no. 09/ 750, 480	
				APPLICANT: Dr. Mitchell Swa			
				FILING DATE: Filed: 12/28/2000		GROUP 641	
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
	AC						
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OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.)							
AR					"Advanced Calculus for Applications, Second Edition" Francis Hildebrand (1976). pages 72 through 76, and also page 88		
AS					"Theoretical Mechanics: An Introduction To Mathematical Physics" (1929) Joseph Ames and Francis Murnaghan. pages 124 to 139		
AT					"Analytical Mechanics" (1962) Grant Fowles. pages 80 through 84 pages 43 through 45 pages 51 through 55.		
AU					"Calculus and Analytical Geometry" (1951, and 1960) George Thomas Jr. pages 895 through 900		
AV							
AX							
AY							
AZ							
EXAMINER: Examiner: Palabrica, R.J.				DATE CONSIDERED 1/8/04			
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